



Utah Division of Real Estate

Residential Mortgage Lender ENTITY REGISTRATION APPLICATION AND LIST OF CONTROL PERSONS

Utah Division of
Real Estate
SM Box 146711
Salt Lake City,
UT 84114-6711

(Please type or print clearly)

BUSINESS NAME (DBA, etc.) _____ DATE _____

LEGAL NAME OF ENTITY (if different) _____

BUSINESS ADDRESS (mailing & physical) _____

CITY _____ STATE _____ ZIP _____

BUSINESS PHONE _____ FAX _____

*CONTROL PERSON'S NAME _____ DATE OF BIRTH _____

HOME ADDRESS (mailing & physical) _____

CITY _____ STATE _____ ZIP _____

SOCIAL SECURITY NUMBER _____ E-MAIL _____

PLEASE CHECK ONE ☐ I do originate or process loans (must be registered as an individual)

☐ I do not originate or process loans

->LIST OTHER CONTROL PERSONS ON BACK<-

* A Control Person is any individual or company that manages or controls the Entity's transaction of the business of residential mortgage loans as such business is directed to or received in the State of Utah.

An original surety bond shall be filed with the Division that names as beneficiaries the state and any person who has a claim against the surety on the bond based on any default or violation of any duty or obligation of the applicant.

ENTITY	CONTROL PERSONS
<p><input type="checkbox"/> \$200 Entity Application fee (non-refundable)</p> <p><input type="checkbox"/> Certificate of existence from Utah Division of Corporations</p> <p><input type="checkbox"/> surety bond for not less than \$25,000 (original must be on file with Division)</p> <p>Bond # _____</p> <p>Surety Company _____</p> <p><input type="checkbox"/> Information for all Control Persons is complete</p>	<p>For <u>each</u> Control Person:</p> <p><input type="checkbox"/> \$39 background check fee (non-refundable)</p> <p><input type="checkbox"/> 2 fingerprint cards AND letter of waiver</p> <p><input type="checkbox"/> a copy of surety bond that covers you and Entity (original must be on file with Division) OR include all bond information</p> <p>Bond # _____</p> <p>Surety Company _____</p>

To qualify for Entity registration, its Control Person(s) shall have good moral character and the competency to transact the business of residential mortgage loans. Please answer the following questions and sign where indicated. If you answer 'yes' to any questions you must attach a detailed explanation and copies of all court paperwork.

WARNING: Your fingerprints will be compared with FBI/BCI criminal fingerprint databank records. If you fail to accurately and completely disclose your criminal history, your registration will be immediately and automatically revoked.

- | | YES | NO | |
|----|--------------------------|--------------------------|--|
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | During the past five years, have you been convicted of, plead guilty or nolo contendere to, or entered a plea in abeyance to, a felony or misdemeanor involving moral turpitude? |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | During the past five years, have you ever had a license or registration suspended, revoked, surrendered, canceled, or denied in this state or another jurisdiction? |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | Are you currently under investigation for, or charged with, a felony or a misdemeanor? |

I hereby certify that my answers to questions 1 - 3 above are true and correct.

Date _____ Signature of Control Person _____ Title _____